

LOEB & LOEB LLP

P. Gregory Schwed
Daniel B. Besikof
345 Park Avenue
New York, New York 10154
Telephone: 212-407-4000
Facsimile: 212-407-4990

SCHULTE ROTH & ZABEL LLP

Marcy Ressler Harris
Jennifer M. Opheim
Mark D. Richardson
919 Third Avenue
New York, New York 10022
Telephone: 212.756.2000
Facsimile: 212.593.5955

**KRAMER LEVIN NAFTALIS &
FRANKEL LLP**

Philip Bentley
Elise S. Frejka
Jason Rappaport
1177 Avenue of the Americas
New York, New York 10036
Telephone: 212-715-9100
Facsimile: 212-715-8000

DENTONS US LLP

Carole Neville
1221 Avenue of the Americas
New York, New York 10020-1089
Telephone: 212-768-6700
Facsimile: 212-768-6800

SEEGER WEISS LLP

Parvin K. Aminolroya
77 Water Street, 26th Floor
New York, New York 10005
Telephone: 212-584-0700
Facsimile: 212-584-0799

**UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK**

SECURITIES INVESTOR PROTECTION
CORPORATION,

Plaintiff,

v.

BERNARD L. MADOFF INVESTMENT
SECURITIES, LLC,

Defendant.

In re:

BERNARD L. MADOFF,
Debtor.

Adv. Pro. No. 08-01789 (BRL)

SIPA Liquidation

(Substantively Consolidated)

**FED. R. BANKR. P. 8006 STATEMENT OF ISSUES
AND DESIGNATION OF RECORD ON APPEAL**

On September 24, 2013, the Customers set forth on the attached Schedule A (“Appellants”) filed a Notice of Appeal (ECF No. 5513) from the “Memorandum Decision and Order Granting, to the Extent Set Forth Herein, the Trustee’s Motion for an Order Affirming the Trustee’s Calculations of Net Equity and Denying Time-Based Damages” (ECF No. 5463) (“Order”) entered in the above-captioned action on September 10, 2013. As set forth in the Notice of Appeal, the Appellants seek to appeal the Order directly to the United States Court of Appeals for the Second Circuit, pursuant to 28 U.S.C. Section 158(d)(2). On September 24, 2013, the Bankruptcy Court certified the Order for direct appeal to the Second Circuit. *See* Court’s Certification of Net Equity Adjustment Order of September 10, 2013 for Immediate Appeal to the United States Court of Appeals Pursuant to 28 U.S.C. § 158(d)(2) (ECF No. 5514). The Appellants will be filing in the Second Circuit a petition requesting permission to appeal. *See* Fed. R. Bankr. P. 8001(f)(5); Fed. R. App. P. 5.

In the event that the Second Circuit should deny Appellants’ petition for leave to appeal, and to preserve Appellants’ right of direct appeal to the District Court, 28 U.S.C. § 158(a)(1), Appellants submit this Statement of Issues to be presented on appeal and Designation of Items to be included in the record on appeal, pursuant to Fed. R. Bankr. P. 8006 and Local Rule 8007-1.

I. STATEMENT OF ISSUES ON APPEAL

1. Did the Bankruptcy Court err in ruling, as a matter of law, that an inflation adjustment should not be made in this case when calculating “net equity” under the Securities Investor Protection Act (“SIPA”)?

2. Did the Bankruptcy Court err in failing to give deference to the Securities and Exchange Commission’s position that the calculation of “net equity” claims of Madoff Securities’ customers should be adjusted for inflation?

3. Did the Bankruptcy Court err in refusing to consider evidence demonstrating that an inflation adjustment to the calculation of “net equity” reflects well-accepted economic principles and addresses significant inequities while resulting in only minimal burden to the Trustee?

II. DESIGNATION OF RECORD ON APPEAL

A. Order Appealed From, Transcript of Hearing, and Notice of Appeal¹

Filing/Entry Date	ECF No.	Docket Text
Sept. 10, 2013	5463	Written Opinion/Memorandum Decision and Order signed on 9/10/2013 Granting, to the Extent Set Forth Herein, the Trustee’s Motion for an Order Affirming the Trustee’s Calculations of Net Equity and Denying Time-Based Damages (related document(s)5038, 5039). (Saenz De Viteri, Monica) Modified on 9/10/2013 (Richards, Beverly). (Entered: 09/10/2013) (30 pgs)
Sept. 10, 2013	5476	Transcript regarding Hearing Held on 09/10/2013 10:03AM RE: Trustees Motion for an Order Affirming Trustees Calculations of Net Equity and Denying Time-Based Damages. Remote electronic access to the transcript is restricted until 12/9/2013. The transcript may be viewed at the Bankruptcy Court Clerks Office. [Transcription Service Agency: Veritext Reporting Company.]. (See the Courts Website for contact information for the Transcription Service Agency.). Notice of Intent to Request Redaction Deadline Due By 9/17/2013. Statement of Redaction Request Due By 10/1/2013. Redacted Transcript Submission Due By 10/11/2013. Transcript access will be restricted through 12/9/2013. (Ortiz, Carmen) (Entered: 09/17/2013)

¹ All documents included in the Appellants’ designation have been filed through the Bankruptcy Court’s ECF system and pursuant to Local Rule 8007-1(a) have not been re-filed by the Appellants.

Filing/Entry Date	ECF No.	Docket Text
Sept. 24, 2013	5513	<p>Notice of Appeal (related document(s)5463) filed by Jennifer L. Young on behalf of 2427 Parent Corporation, Advent Management Corp. Pension Plan and Trust, Gary Albert, Albert Family Retirement LP, Albert J. Goldstein U/W FBO Ruth E. Goldstein TTEE, Andrew Katz and Deborah Katz JT TEN, Aspen Fine Arts Co., Aspen Fine Arts Co. Defined Contribution Plan, Linda & Howard Berger, Gerald Blumenthal (IRA), Jan Marcus Capper, Judith G. Damron, Deborah G. Katz and Deborah Katz as Custodian for Alexander & Jason Katz T/I/C, Ann Denver, Diane Sloves as Tstee Under Rev Tst Agreement Dtd 10/13/00 for the Benefit of Diane Sloves, Do Stay, Inc., Douglas G. Brown, as Trustee of The Douglas G. Brown Revocable Trust, Norton Eisenberg, Elbert R. Brown, Trustee U/T/D/ 12/29/88, Estate of Doris M. Pearlman, Export Technicians, Inc., Forecast Designs Retirement Trust, Lewis Franck, Amy Thau Friedman, P. Charles Gabriele, Irving Gerberg, Stephen R. Goldenberg, Judith Rock Goldman, Ruth E. Goldstein, Marilyn C Gross, Jerry Guberman, Barbara Harris, Elizabeth Harris Brown, Horowitz Family Trust, Jack Kaufman and Phyllis Kaufman JTWROS, Jerry Guberman Trust Dated 12/23/93, John Denver Concerts Inc. Pension Plan Trust, John Malkovich Pension Plan and Trust, Anita Karimian, Kenneth D. Bane 2006 Trust, Kenneth D. Bane, Trustee, Lawrence I. Brown and Barbara Brown JTWROS, Laurence Leif, Lester Kolodny, Robin Popkin Logue, Trustee of the Joseph S. Popkin Revocable Trust, John Malkovich, I Martin Gelman and Michale Dancer JT/WROS, Michael Mathias and Stacey Mathias JTWROS, Jonathan Michaeli, Onesco International Ltd., Michael H. and Lisa Ostrove, June Pollack, Robert Potamkin, Robert and Lexie Potamkin, Potamkin Family Foundation I, Inc., Robin I. Logue and Peter G. Logue, as co-trustees of the Logue Family Revocable Trust, Paul J. Robinson, Delia Gail Rosenberg, Florence Roth, Lynda Roth, Michael Roth, Richard Roth, Marvin Schlachter, Trudy Schlachter, Barbara Schlossberg, Bernard Seldon, Dorothy B. Seldon, Lynn Lazarus Serper, Michael and Sandra Silverstein, Joseph Sloves, Jonathan Sobin, Leila F. Sobin (IRA), Steven V. Marcus Seperate Property Marcus Family Trust, Harold A. Thau, Michael E. Thau, The Adina Michaeli Revocable Trust, The Aspen Company, The Marcus Family Limited Partnership, Trust U/W/O Harriette Myers, Viola Brown, Trustee U/T/D/ 12/29/88, Westben Corp., William M. Woessner, William M. Woessner and Sheila A. Woessner. (Attachments: # 1 Exhibit 1 # 2 Exhibit 2)(Young, Jennifer) (Entered: 09/24/2013) (44 pgs; 3 docs)</p>
Sept. 24, 2013	5516	<p>Notice of Appeal (related document(s) 5463) filed by Elise Scherr Frejka on behalf of Customers identified on Exhibit A. (Frejka, Elise) (Entered: 9/24/2013) (51 pgs)</p>

B. Motions, Briefs, and Evidentiary Material

Filing/Entry Date	ECF No.	Docket Text
July 9, 2009	314	Trustee's Interim Report /Trustee's First Interim Report for the Period December 11, 2008 through June 30, 2009 filed by Irving H. Picard on behalf of Irving H Picard Esq.. (Attachments: 1 Exhibit A2 Appendix Certificate of Service)(Picard, Irving) (Entered: 07/09/2009)
July 10, 2009	320	First Application for Interim Professional Compensation For Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred for Irving H Picard Esq., Trustee Chapter 7, period: 12/15/2008 to 4/30/2009, fee:\$759,228.75, expenses: \$45.00. filed by Irving H Picard Esq.. with hearing to be held on 8/6/2009 at 10:00 AM at Courtroom 623 (BRL) Responses due by 8/3/2009, (Attachments: 1 Exhibit A2 Exhibit B) (Picard, Irving) Modified on 7/17/2009 (Richards, Beverly). (Entered: 07/10/2009) (19 pgs; 3 docs)
July 10, 2009	321	First Application for Interim Professional Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred for Baker & Hostetler LLP, Trustee's Attorney, period: 12/15/2008 to 4/30/2009, fee:\$14662319.83, expenses: \$274,203.03. filed by David J. Sheehan. with hearing to be held on 8/6/2009 at 10:00 AM at Courtroom 623 (BRL) Responses due by 8/3/2009, (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C4 Exhibit D) (Sheehan, David) (Entered: 07/10/2009) (31 pgs; 5 docs)

Filing/Entry Date	ECF No.	Docket Text
Aug. 6, 2009	363	Order Granting Application for Interim Professional Compensation (Related Doc # 320)for Irving H. Picard, fees awarded: \$607383.00, expense awarded: \$45.00, Granting Application for Interim Professional Compensation (Related Doc # 321)for Baker & Hostetler LLP, fees awarded: \$11729855.86, expense awarded: \$274203.03, Granting Application for Final Professional Compensation (Related Doc # 323)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$199500.00, expense awarded: \$2770.46, Granting Application for Interim Professional Compensation (Related Doc # 328)for Attias & Levy, fees awarded: \$11580.25, expense awarded: \$339.67, Granting Application for Interim Professional Compensation (Related Doc # 329)for Eugene F. Collins, fees awarded: \$65497.41, expense awarded: \$26192.27, Granting Application for Interim Professional Compensation (Related Doc # 330)for Lovells LLP, fees awarded: \$599632.52, expense awarded: \$27016.47, Granting Application for Interim Professional Compensation (Related Doc # 331)for Williams, Barristers & Attorneys, fees awarded: \$106392.48, expense awarded: \$19593.75, Granting Application for Interim Professional Compensation (Related Doc # 332)for Schiltz & Schiltz, fees awarded: \$40560.39, expense awarded: \$4119.41, Granting Application for Interim Professional Compensation (Related Doc # 333)for Higgs Johnson Truman Bodden & Co., fees awarded: \$8608.32, expense awarded: \$223.18 signed on 8/6/2009. (Chou, Rosalyn) (Entered: 08/06/2009) (4 pgs)
Aug. 27, 2009	395	Motion to Authorize /Motion For an Order to Schedule Hearing on "Net Equity" Issue filed by Marc E. Hirschfield on behalf of Irving H Picard Esq. with hearing to be held on 9/9/2009 at 10:00 AM at Courtroom 623 (BRL) Responses due by 9/3/2009, (Attachments: 1 Notice of Motion2 Exhibit A3 Exhibit B4 Appendix Certificate of Service) (Hirschfield, Marc) (Entered: 08/27/2009)
Nov. 23, 2009	998	Second Application for Interim Professional Compensation for Irving H. Picard, Trustee Chapter 7, period: 5/1/2009 to 9/30/2009, fee:\$915346.69, expenses: \$921.25. filed by Irving H. Picard. with hearing to be held on 12/17/2009 at 10:00 AM at Courtroom 623 (BRL) Responses due by 12/14/2009, (Attachments: 1 Exhibit A2 Exhibit B) (Picard, Irving) (Entered: 11/23/2009) (31 pgs; 3 docs)
Nov. 23, 2009	1010	Second Application for Interim Professional Compensation for Baker & Hostetler LLP, Trustee's Attorney, period: 5/1/2009 to 9/30/2009, fee:\$23076176.37, expenses: \$280681.62. filed by David J. Sheehan. with hearing to be held on 12/17/2009 at 10:00 AM at Courtroom 623 (BRL) Responses due by 12/14/2009, (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C4 Exhibit D5 Exhibit E) (Sheehan, David) (Entered: 11/23/2009) (66 pgs; 6 docs)

Filing/Entry Date	ECF No.	Docket Text
Nov. 23, 2009	1011	Trustee's Interim Report /Trustee's Second Interim Report For The Period Ending 10/31/2009 filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: 1 Exhibit A)(Picard, Irving) (Entered: 11/23/2009)
Dec. 11, 2009	1052	Memorandum of Law of the Securities and Exchange Commission Supporting Trustee's Determination that Net Equity Should Not be Based on Securities Positions Listed on Last Statements, and Supporting in Part Trustee's Determination that Net Equity Should be Based Upon Amounts Deposited Less Amounts Withdrawn (related document(s)524) filed by Patricia Schrage on behalf of Securities and Exchange Commission. (Schrage, Patricia) (Entered: 12/11/2009)
Dec. 17, 2009	1078	Order signed on 12/17/2009 Granting (I)Application for Interim Professional Compensation (Related Doc # 998)for Irving H. Picard, fees awarded: \$835605.00, expense awarded: \$921.25, Granting Application for Interim Professional Compensation (Related Doc # 1010)for Baker & Hostetler LLP, fees awarded: \$21279101.85, expense awarded: \$280681.62 and (II) To amend the order pursuant to Section 78eee(b)(5)of SIPA, Section 105,330 and 331 of the Bankruptcy Code, Bankruptcy Rule 2016 (a) and Local Bankruptcy Rule 2016-1 establishing procedures covering interim monthly compensation of trustee and Baker & Hostetler LLP. (Chou, Rosalyn) (Entered: 12/17/2009) (8 pgs)
Apr. 09, 2010	2188	Application for Interim Professional Compensation /Third Application of Irving H. Picard, Trustee For Allowance of Interim Compensation For Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred From 10/1/2009 through 1/31/2010 for Irving H. Picard, Trustee Chapter 7, period: 10/1/2009 to 1/31/2010, fee:\$671591.25, expenses: \$77.66. filed by David J. Sheehan. with hearing to be held on 5/5/2010 at 10:00 AM at Courtroom 623 (BRL) (Attachments: 1 Exhibit A2 Exhibit B) (Sheehan, David) (Entered: 04/09/2010) (30 pgs; 3 docs)
Apr. 09, 2010	2189	Application for Interim Professional Compensation /Third Application of Baker & Hostetler LLP For Allowance of Interim Compensation For Services Rendered And Reimbursement Of Actual and Necessary Expenses Incurred From 10/1/2009 through 1/31/2010 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 10/1/2009 to 1/31/2010, fee:\$23884085.25, expenses: \$390204.89. filed by David J. Sheehan. with hearing to be held on 5/5/2010 at 10:00 AM at Courtroom 623 (BRL) (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C4 Exhibit D) (Sheehan, David) (Entered: 04/09/2010) (52 pgs; 5 docs)
Apr. 09, 2010	2207	Trustee's Interim Report /Trustee's Amended Third Interim Report For The Period Ending March 31, 2010 (related document(s)2186) filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: 1 Exhibit A)(Picard, Irving) (Entered: 04/14/2010)

Filing/Entry Date	ECF No.	Docket Text
May 06, 2010	2251	Order Granting Application for Interim Professional Compensation (Related Doc # 2188)for Irving H. Picard, fees awarded: \$570852.56, expense awarded: \$77.66, Granting Application for Interim Professional Compensation (Related Doc # 2189)for Baker & Hostetler, L.L.P., fees awarded: \$20301472.46, expense awarded: \$390204.89, Granting Application for Interim Professional Compensation (Related Doc # 2190)for Schiltz & Schiltz, fees awarded: \$68605.20, expense awarded: \$5574.17, Granting Application for Interim Professional Compensation (Related Doc # 2191)for Higgs Johnson Truman Bodden & Co., fees awarded: \$42840.00, expense awarded: \$7680.91, Granting Application for Interim Professional Compensation (Related Doc # 2193)for Eugene F. Collins, fees awarded: \$8166.53, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 2194)for Williams, Barristers & Attorneys, fees awarded: \$64400.00, expense awarded: \$12495.00, Granting Application for Interim Professional Compensation (Related Doc # 2195)for Attias & Levy, fees awarded: \$156300.48, expense awarded: \$7218.52, Granting Application for Interim Professional Compensation (Related Doc # 2196)for Lovells LLP, fees awarded: \$306502.56, expense awarded: \$43672.39, Granting Application for Interim Professional Compensation (Related Doc # 2197)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$793231.52, expense awarded: \$16914.96, Granting Application for Interim Professional Compensation (Related Doc # 2198)for Kugler Kandestin, L.L.P., fees awarded: \$4094.86, expense awarded: \$193.08 signed on 5/5/2010. (Chou, Rosalyn) (Entered: 05/06/2010) (6 pgs)
Aug. 20, 2010	2883	Application for Interim Professional Compensation Fourth Application Of Trustee and Baker & Hostetler LLP For Allowance Of Interim Compensation For Services Rendered And Reimbursement of Actual and Necessary Expenses Incurred From February 1, 2010 through May 31, 2010 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 2/1/2010 to 5/31/2010, fee:\$33981534.45, expenses: \$731371.19, for Irving H. Picard, Trustee Chapter 7, period: 2/1/2010 to 5/31/2010, fee:\$601202.25, expenses: \$39.63. filed by David J. Sheehan. with hearing to be held on 9/14/2010 at 10:00 AM at Courtroom 623 (BRL) Responses due by 9/7/2010, (Attachments: 1 Exhibit A - Affidavit of David Sheehan2 Exhibit B - Compensation by Task Code3 Exhibit C - Expense Summary by Trustee4 Exhibit D - Summary of Fourth Interim Fee Application5 Exhibit E - Compensation by Work Task Code6 Exhibit F - Expense Summary by Baker & Hostetler) (Sheehan, David) (Entered: 08/20/2010) (64 pgs; 7 docs)

Filing/Entry Date	ECF No.	Docket Text
Sept. 14, 2010	2981	Order Granting Application for Interim Professional Compensation (Related Doc # 2883)for Baker & Hostetler, L.L.P., fees awarded: \$28884304.29, expense awarded: \$731371.19, Granting Application for Interim Professional Compensation (Related Doc # 2883)for Irving H. Picard, fees awarded: \$511021.92, expense awarded: \$39.63, Granting Application for Interim Professional Compensation (Related Doc # 2884)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$1930696.00, expense awarded: \$24141.50, Granting Application for Interim Professional Compensation (Related Doc # 2886)for Eugene F. Collins, fees awarded: \$38568.80, expense awarded: \$16233.37, Granting Application for Interim Professional Compensation (Related Doc # 2887)for Williams, Barristers & Attorneys, fees awarded: \$68644.00, expense awarded: \$9145.00, Granting Application for Interim Professional Compensation (Related Doc # 2888)for Attias & Levy, fees awarded: \$77710.08, expense awarded: \$10823.89, Granting Application for Interim Professional Compensation (Related Doc # 2889)for SCA Creque, fees awarded: \$8190.00, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 2890)for Schiltz & Schiltz, fees awarded: \$55162.20, expense awarded: \$4481.93, Granting Application for Interim Professional Compensation (Related Doc # 2891)for Lovells LLP, fees awarded: \$268261.92, expense awarded: \$64327.30, Granting Application for Interim Professional Compensation (Related Doc # 2892)for Mishcon de Reya, fees awarded: \$65926.23, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 2893)for Kugler Kandestin, L.L.P., fees awarded: \$10440.65, expense awarded: \$178.62, Granting Application for Interim Professional Compensation (Related Doc # 2894)for Higgs Johnson Truman Bodden & Co., fees awarded: \$75585.96, expense awarded: \$11487.98 signed on 9/14/2010. (Chou, Rosalyn) (Entered: 09/14/2010) (7 pgs)
Nov. 19, 2010	3207	Fifth Application for Interim Professional Compensation Fifth Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from June 1, 2010 through September 30, 2010 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 6/1/2010 to 9/30/2010, fee:\$38522476.35, expenses: \$851332.34, for Irving H. Picard, Other Professional, period: 6/1/2010 to 9/30/2010, fee:\$684659.25, expenses: \$954.41. filed by Baker & Hostetler, L.L.P., Irving H. Picard. with hearing to be held on 12/14/2010 at 10:00 AM at Courtroom 623 (BRL) Responses due by 12/7/2010, (Attachments: 1 Exhibit A2 Exhibit B - F) (Sheehan, David) (Entered: 11/19/2010) (69 pgs; 3 docs)

Filing/Entry Date	ECF No.	Docket Text
Dec. 14, 2010	3474	Order Granting Application for Interim Professional Compensation (Related Doc # 3207)for Irving H. Picard, fees awarded: \$681960.34, expense awarded: \$954.41, Granting Application for Interim Professional Compensation (Related Doc # 3208)for Attias & Levy, fees awarded: \$211880.03, expense awarded: \$10827.27, Granting Application for Interim Professional Compensation (Related Doc # 3209)for Eugene F. Collins, fees awarded: \$19013.68, expense awarded: \$745.54, Granting Application for Interim Professional Compensation (Related Doc # 3210)for Hogan Lovells International LLP, fees awarded: \$88455.60, expense awarded: \$29312.01, Granting Application for Interim Professional Compensation (Related Doc # 3211)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$2418914.00, expense awarded: \$33127.92, Granting Application for Interim Professional Compensation (Related Doc # 3212)for Williams, Barristers & Attorneys, fees awarded: \$106595.38, expense awarded: \$16365.00, Granting Application for Interim Professional Compensation (Related Doc # 3213)for Schiltz & Schiltz, fees awarded: \$73637.40, expense awarded: \$5983.05, Granting Application for Interim Professional Compensation (Related Doc # 3214)for Higgs & Johnson, fees awarded: \$54167.40, expense awarded: \$4735.06, Granting Application for Interim Professional Compensation (Related Doc # 3215)for Kugler Kandestin, L.L.P., fees awarded: \$3988.25, expense awarded: \$117.63, Granting Application for Interim Professional Compensation (Related Doc # 3216)for Werder Vigano, fees awarded: \$27103.12, expense awarded: \$1041.09, Granting Application for Interim Professional Compensation (Related Doc # 3217)for SCA Creque, fees awarded: \$59665.02, expense awarded: \$0.00, Granting Application for Compensation (Related Doc # 3207) for Baker & Hostetler, L.L.P., fees awarded: \$36144104.91, expense awarded: \$851332.34 signed on 12/14/2010. (Chou, Rosalyn) (Entered: 12/14/2010) (7 pgs)
Apr. 18, 2011	4022	Application for Interim Professional Compensation / Sixth Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred From October 1, 2010 Through January 31, 2011 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 10/1/2010 to 1/31/2011, fee:\$43177049.10, expenses: \$1103196.25, for Irving H. Picard, Other Professional, period: 10/1/2010 to 1/31/2011, fee:\$713,799.00, expenses: \$31.50. filed by Baker & Hostetler, L.L.P., Irving H. Picard. with hearing to be held on 5/12/2011 at 10:00 AM at Courtroom 623 (BRL) Responses due by 5/5/2011, (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C4 Exhibit D5 Exhibit E6 Exhibit F7 Exhibit G8 Exhibit H) (Sheehan, David) (Entered: 04/18/2011) (95 pgs; 9 docs)

Filing/Entry Date	ECF No.	Docket Text
June 01, 2011	4125	<p>Order Granting Applications (I) For Allowance of Compensation for Services Rendered and Reimbursement of Expenses and (II) To Amend the Order Pursuant To Section 78eee (b)(5) of SIPA, Section 105, 330 and 331 of the Bankruptcy Code, Bankruptcy Rule 2016 (a), And Local Bankruptcy Rule 2016-1 Establishing Procedures Governing Interim Monthly Compensation of Trustee and Baker & Hostetler LLP, for Interim Professional Compensation (Related Doc # 4022) for Baker & Hostetler, L.L.P., fees awarded: \$42075830.36, expense awarded: \$1103196.25, Granting Application for Interim Professional Compensation (Related Doc # 4022) for Irving H. Picard, fees awarded: \$720033.45, expense awarded: \$31.50, Granting Application for Interim Professional Compensation (Related Doc # 4024) for Attias & Levy, fees awarded: \$144436.86, expense awarded: \$7271.46, Granting Application for Interim Professional Compensation (Related Doc # 4025) for Eugene F. Collins, fees awarded: \$6575.51, expense awarded: \$345.14, Granting Application for Interim Professional Compensation (Related Doc # 4028) for Schiltz & Schiltz, fees awarded: \$70869.00, expense awarded: \$18382.90, Granting Application for Interim Professional Compensation (Related Doc # 4029) for Higgs Johnson Truman Bodden & Co., fees awarded: \$124367.40, expense awarded: \$52015.01, Granting Application for Interim Professional Compensation (Related Doc # 4030) for Kugler Kandestin L.L.P., fees awarded: \$2062.24, expense awarded: \$1.31, Granting Application for Interim Professional Compensation (Related Doc # 4031) for Werder Vigano, fees awarded: \$14586.00, expense awarded: \$67.71, Granting Application for Interim Professional Compensation (Related Doc # 4032) for SCA Creque, fees awarded: \$131939.17, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 4033) for Young Conaway Stargatt & Taylor LLP, fees awarded: \$11182.68, expense awarded: \$912.44, Granting Application for Final Professional Compensation (Related Doc # 4034) for Schifferli Vafadar Sivilotti, fees awarded: \$3482.00, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 4052) for Taylor Wessing, fees awarded: \$1213033.12, expense awarded: \$185485.24, Granting Application for Interim Professional Compensation (Related Doc # 4053) for Williams, Barristers & Attorneys, fees awarded: \$216130.76, expense awarded: \$4582.00, Granting Application for Interim Professional Compensation (Related Doc # 4055) for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$2448081.60, expense awarded: \$68343.34, signed on 6/1/2011. (Chou, Rosalyn) (Entered: 06/01/2011) (10 pgs)</p>

Filing/Entry Date	ECF No.	Docket Text
Sept. 21, 2011	4376	Seventh Application for Interim Professional Compensation / Seventh Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from February 1, 2011 through May 31, 2011 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 2/1/2011 to 5/31/2011, fee:\$44727586.65, expenses: \$1270956.31, for Irving H. Picard, Other Professional, period: 2/1/2011 to 5/31/2011, fee:\$599301, expenses: \$479.80. filed by Baker & Hostetler, L.L.P.. with hearing to be held on 10/19/2011 at 10:00 AM at Courtroom 623 (BRL) Responses due by 10/5/2011, (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C4 Exhibit D5 Exhibit E6 Exhibit F) (Sheehan, David) (Entered: 09/21/2011) (97 pgs; 7 docs)

Filing/Entry Date	ECF No.	Docket Text
Oct. 21, 2011	4471	Order signed on 10/19/2011 Re: Granting Application for Interim Professional Compensation (Related Doc # 4376)for Baker & Hostetler, L.L.P., fees awarded: \$44727586.65, expense awarded: \$1270956.31, Granting Application for Interim Professional Compensation (Related Doc # 4376)for Irving H. Picard, fees awarded: \$599301.00, expense awarded: \$479.80, Granting Application for Interim Professional Compensation (Related Doc # 4379)for Eugene F. Collins, fees awarded: \$9616.37, expense awarded: \$176.12, Granting Application for Interim Professional Compensation (Related Doc # 4380)for Higgs & Johnson, fees awarded: \$41721.75, expense awarded: \$2794.43, Granting Application for Interim Professional Compensation (Related Doc # 4381)for Taylor Wessing, fees awarded: \$1434276.90, expense awarded: \$249075.70, Granting Application for Interim Professional Compensation (Related Doc # 4382)for UGGC & Associes, fees awarded: \$70603.45, expense awarded: \$8262.14, Granting Application for Interim Professional Compensation (Related Doc # 4383)for Kugler Kandestin, L.L.P., fees awarded: \$6462.53, expense awarded: \$724.25, Granting Application for Interim Professional Compensation (Related Doc # 4384)for Young Conaway Stargatt & Taylor, LLP, fees awarded: \$49484.70, expense awarded: \$840.62, Granting Application for Interim Professional Compensation (Related Doc # 4385)for Osborne & Osborne, P.A., fees awarded: \$1301.85, expense awarded: \$35.21, Granting Application for Interim Professional Compensation (Related Doc # 4386)for SCA Creque, fees awarded: \$159031.51, expense awarded: \$1174.00, Granting Application for Interim Professional Compensation (Related Doc # 4387)for Williams, Barristers & Attorneys, fees awarded: \$282089.89, expense awarded: \$2673.50, Granting Application for Interim Professional Compensation (Related Doc # 4388)for Graf & Pitkowitz Rechtsanwalte GmbH, fees awarded: \$970376.30, expense awarded: \$32139.63, Granting Application for Interim Professional Compensation (Related Doc # 4389)for Schiltz & Schiltz, fees awarded: \$60220.27, expense awarded: \$9248.79, Granting Application for Interim Professional Compensation (Related Doc # 4391)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$2987422.80, expense awarded: \$93630.76. (Greene, Chantel) (Entered: 10/21/2011) (9 pgs)
Nov. 15, 2011	4529	Trustee's Interim Report / Trustee's Sixth Interim Report for the Period Ending September 30, 2011 filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: # 1 Exhibit A)(Picard, Irving) (Entered: 11/15/2011) (54 pgs; 2 docs)

Filing/Entry Date	ECF No.	Docket Text
Feb. 17, 2012	4676	Eighth Application for Interim Professional Compensation / Eighth Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from June 1, 2011 through September 30, 2011 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 6/1/2011 to 9/30/2011, fee:\$47967371.55, expenses: \$1245333.46. filed by Baker & Hostetler, L.L.P.. with hearing to be held on 3/15/2012 at 10:00 AM at Courtroom 623 (BRL) Responses due by 3/8/2012, (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D) (Sheehan, David) (Entered: 02/17/2012) (90 pgs; 5 docs)
Apr. 25, 2012	4793	Seventh Trustee's Interim Report For The Period Ending March 31, 2012 filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: # 1 Exhibit A)(Picard, Irving) (Entered: 04/25/2012) (80 pgs; 2 docs)
Aug. 01, 2012	4936	Ninth Application for Interim Professional Compensation / Ninth Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from October 1, 2011 through January 31, 2012 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 10/1/2011 to 1/31/2012, fee:\$48107863.8, expenses: \$866625.44. filed by Baker & Hostetler, L.L.P.. with hearing to be held on 8/29/2012 at 10:00 AM at Courtroom 623 (BRL) Responses due by 8/22/2012, (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D# 5 Exhibit E) (Sheehan, David) (Entered: 08/01/2012) (93 pgs; 6 docs)

Filing/Entry Date	ECF No.	Docket Text
Aug. 30, 2012	5012	<p>Order Granting Application for Interim Professional Compensation (Related Doc # 4937)for Eugene F. Collins, fees awarded: \$3,779.99, expense awarded: \$44.99, Granting Application for Interim Professional Compensation (Related Doc # 4938)for Schiltz & Schiltz, fees awarded: \$25,059.48, expense awarded: \$2,821.49, Granting Application for Interim Professional Compensation (Related Doc # 4939)for Higgs Johnson Truman Bodden & Co., fees awarded: \$59,983.20, expense awarded: \$2,423.24, Granting Application for Interim Professional Compensation (Related Doc # 4940)for Soroker - Agmon, fees awarded: \$200,597.17, expense awarded: \$3,377.18, Granting Application for Interim Professional Compensation (Related Doc # 4941)for Graf & Pitkowitz Rechtsanwälte GmbH, fees awarded: \$399,288.56, expense awarded: \$16,937.56, Granting Application for Interim Professional Compensation (Related Doc # 4942)for SCA Creque, fees awarded: \$207,250.07, expense awarded: \$1,900.00, Granting Application for Interim Professional Compensation (Related Doc # 4943)for Young Conaway Stargatt & Taylor, LLP, fees awarded: \$19,671.84, expense awarded: \$967.27, Granting Application for Interim Professional Compensation (Related Doc # 4944)for Williams, Barristers & Attorneys, fees awarded: \$335,164.08, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 4945)for Taylor Wessing, fees awarded: \$857,214.55, expense awarded: \$529,103.58, Granting Application for Interim Professional Compensation (Related Doc # 4946)for UGGC & Associates, fees awarded: \$51,080.72, expense awarded: \$799.49, Granting Application for Interim Professional Compensation (Related Doc # 4947)for Attias & Levy, fees awarded: \$36,676.54, expense awarded: \$1,104.43, Granting Application for Interim Professional Compensation (Related Doc # 4948)for Werder Vigano, fees awarded: \$1,395.97, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 4949)for Greenfield Stein & Senior, LLP, fees awarded: \$20,041.25, expense awarded: \$631.85, Granting Application for Interim Professional Compensation (Related Doc # 4950)for Browne Jacobson, LLP, fees awarded: \$12,624.36, expense awarded: \$2,703.59, Granting Application for Interim Professional Compensation (Related Doc # 4951)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$2,563,075.68, expense awarded: \$24,142.98, Granting Application for Interim Professional Compensation (Related Doc # 4936)for Baker & Hostetler, L.L.P., fees awarded: \$59,297,077.43, expense awarded: \$866,625.44; signed on 8/29/2012 (White, Greg) (Entered: 08/30/2012) (8 pgs)</p>

Filing/Entry Date	ECF No.	Docket Text
Oct. 12, 2012	5036	Memorandum of Law of the Securities Investor Protection Corporation in Support of Trustee's Motion for an Order Affirming Trustee's Calculations of Net Equity and Denying Time-Based Damages filed by Josephine Wang on behalf of Securities Investor Protection Corporation. (Wang, Josephine) (Entered: 10/12/2012) (41 pgs)
Oct. 12, 2012	5038	Motion to Approve / Notice of Trustee's Motion for an Order Affirming Trustee's Calculations of Net Equity and Denying Time-Based Damages (related document(s)5022) filed by David J. Sheehan on behalf of Irving H. Picard. with hearing to be held on 1/10/2013 at 10:00 AM at Courtroom 623 (BRL) Responses due by 11/12/2012, (Attachments: # 1 Exhibit A to Notice of Trustee's Motion# 2 Trustees Motion for an Order Affirming Trustees Calculations of Net Equity and Denying Time-Based Damages) (Sheehan, David) (Entered: 10/12/2012) (16 pgs; 3 docs)
Oct. 12, 2012	5039	Memorandum of Law / Memorandum of Law in Support of Trustee's Motion for an Order Affirming Trustee's Calculations of Net Equity and Denying Time-Based Damages (related document(s)5038) filed by David J. Sheehan on behalf of Irving H. Picard. Objections due by 11/12/2012, (Sheehan, David) (Entered: 10/12/2012) (39 pgs)
Oct. 12, 2012	5040	Declaration / Declaration of Bik Cheema in Support of The Trustee's Motion for an Order Affirming The Trustee's Calculation of Net Equity and Denying Time-Based Damages (related document(s)5038, 5039) filed by David J. Sheehan on behalf of Irving H. Picard. with hearing to be held on 1/10/2013 at 10:00 AM at Courtroom 623 (BRL) Objections due by 11/12/2012, (Attachments: # 1 Exhibit A# 2 Exhibit B) (Sheehan, David) (Entered: 10/12/2012) (79 pgs; 3 docs)
Oct. 12, 2012	5041	Declaration / Declaration of Robert J. Rock in Connection with The Trustee's Motion for an Order Affirming The Trustee's Calculation of Net Equity and Denying Time-Based Damages (related document(s)5038, 5039) filed by David J. Sheehan on behalf of Irving H. Picard. with hearing to be held on 1/10/2013 at 10:00 AM at Courtroom 623 (BRL) Objections due by 11/12/2012, (Sheehan, David) (Entered: 10/12/2012) (5 pgs)
Nov. 05, 2012	5066	Trustee's Interim Report / Trustee's Eighth Interim Report for the Period Ending September 30, 2012 filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: # 1 Exhibit A)(Picard, Irving) (Entered: 11/05/2012) (91 pgs; 2 docs)

Filing/Entry Date	ECF No.	Docket Text
Nov. 28, 2012	5097	Tenth Application for Interim Professional Compensation / Tenth Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from February 1, 2012 through June 30, 2012 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 2/1/2012 to 6/30/2012, fee:\$61671551.85, expenses: \$1,038,317.94. filed by Baker & Hostetler, L.L.P.. with hearing to be held on 12/19/2012 at 10:00 AM at Courtroom 623 (BRL) Responses due by 12/12/2012, (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D) (Sheehan, David) (Entered: 11/28/2012) (102 pgs; 5 docs)
Dec. 03, 2012	5133	Opposition Brief CUSTOMERS' BRIEF OPPOSING TRUSTEE'S MOTION FOR AN ORDER REJECTING AN INFLATION ADJUSTMENT TO THE CALCULATION OF "NET EQUITY" (related document(s)5038) filed by Peter Gregory Schwed on behalf of Customers Set forth on Schedule A. (Schwed, Peter) (Entered: 12/03/2012) (59 pgs)
Dec. 03, 2012	5134	Affidavit DECLARATION OF P. GREGORY SCHWED IN SUPPORT OF CUSTOMERS' BRIEF OPPOSING TRUSTEE'S MOTION FOR AN ORDER REJECTING AN INFLATION ADJUSTMENT TO THE CALCULATION OF "NET EQUITY" (related document(s)5133) filed by Peter Gregory Schwed on behalf of Customers Set forth on Schedule A. (Schwed, Peter) (Entered: 12/03/2012) (35 pgs)
Dec. 10, 2012	5142	Memorandum of Law of Securities and Exchange Commission Supporting a Constant Dollar Approach to Valuing Customers' Net Equity Claims for Fictitious Securities Positions(Related Document #5038) filed by Patricia Schrage on behalf of Securities and Exchange Commission. (Schrage, Patricia) (Modified on 12/11/2012 to Add Link Related Document) (Richards, Beverly). (Entered: 12/10/2012) (19 pgs)

Filing/Entry Date	ECF No.	Docket Text
Dec. 19, 2012	5161	<p>Order Granting Application for Interim Professional Compensation (Related Doc # 5096)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$2,388,983.12, expense awarded: \$20,442.30, Granting Application for Interim Professional Compensation (Related Doc # 5097)for Baker & Hostetler, L.L.P., fees awarded: \$55,504,396.69, expense awarded: \$1,038,317.94, Granting Application for Interim Professional Compensation (Related Doc # 5098)for Eugene F. Collins, fees awarded: \$1,393.20, expense awarded: \$213.05, Granting Application for Interim Professional Compensation (Related Doc # 5099)for Schiltz & Schiltz, fees awarded: \$36,407.81, expense awarded: \$2,958.15, Granting Application for Interim Professional Compensation (Related Doc # 5100)for Higgs Johnson Truman Bodden & Co., fees awarded: \$87,996.60, expense awarded: \$13,189.15, Granting Application for Interim Professional Compensation (Related Doc # 5102)for Graf & Pitkowitz Rechtsanwalte GmbH, fees awarded: \$525,308.95, expense awarded: \$30,701.66, Granting Application for Interim Professional Compensation (Related Doc # 5103)for SCA Creque, fees awarded: \$91,427.98, expense awarded: \$1,993.00, Granting Application for Interim Professional Compensation (Related Doc # 5104)for Young Conaway Stargatt & Taylor, LLP, fees awarded: \$95,886.00, expense awarded: \$11,497.84, Granting Application for Interim Professional Compensation (Related Doc # 5105)for Williams, Barristers & Attorneys, fees awarded: \$262,934.50, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5107)for UGGC & Associes, fees awarded: \$67,867.99, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5108)for Werder Vigano, fees awarded: \$24,468.12, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5109)for Greenfield, Stein and Senior, LLP, fees awarded: \$4,639.68, expense awarded: \$53.88, Granting Application for Interim Professional Compensation (Related Doc # 5110)for Browne Jacobson, LLP, fees awarded: \$58,784.65, expense awarded: \$12.65, Granting Application for Interim Professional Compensation (Related Doc # 5111)for Osborne & Osborne, P.A., fees awarded: \$1,100.16, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5101)for Sorokor - Agmon, fees awarded: \$340,073.44, expense awarded: \$3,445.07, Granting Application for Interim Professional Compensation (Related Doc # 5106)for Taylor Wessing, fees awarded: \$2,332,952.43, expense awarded: \$1,211,136.84; signed on 12/19/2012 (White, Greg) (Entered: 12/19/2012) (8 pgs)</p>

Filing/Entry Date	ECF No.	Docket Text
Jan. 02, 2013	5181	Amended Order Approving Applications for Allowance of Compensation for Services Rendered and Reimbursement of Expenses signed on 1/2/2013 (related document(s)4735) (White, Greg) (Entered: 01/02/2013) (8 pgs)
Jan. 23, 2013	5212	Amended Time-Based Damages Scheduling Order signed on 1/23/2013 (related document(s)5022). (Saenz De Viteri, Monica) (Entered: 01/23/2013) (5 pgs)
Mar. 07, 2013	5258	Errata Order re: Interim Fee Orders signed on 2/21/13 (related document(s)4125, 3474, 363, 4471, 5181, 5012, 5161) (White, Greg) (Entered: 03/07/2013) (34 pgs; 8 docs)
Apr. 26, 2013	5329	Supplemental Opposition Brief CUSTOMERS' SUPPLEMENTAL BRIEF OPPOSING TRUSTEE'S MOTION FOR AN ORDER REJECTING AN INFLATION ADJUSTMENT TO THE CALCULATION OF "NET EQUITY" (related document(s)5038) filed by Richard A. Kirby on behalf of Customers Set forth on Schedule A. (Kirby, Richard) (Entered: 04/26/2013) (31 pgs)
Apr. 26, 2013	5330	Declaration OF RICHARD A. KIRBY IN SUPPORT OF CUSTOMERS' SUPPLEMENTAL BRIEF OPPOSING TRUSTEE'S MOTION FOR AN ORDER REJECTING AN INFLATION ADJUSTMENT TO THE CALCULATION OF "NET EQUITY" filed by Richard A. Kirby on behalf of Customers Set forth on Schedule A. (Kirby, Richard) (Entered: 04/26/2013) (65 pgs)
Apr. 26, 2013	5331	Declaration OF TIMOTHY H. HART, CPA, CFE (EXPERT REPORT) filed by Richard A. Kirby on behalf of Customers Set forth on Schedule A. (Kirby, Richard) (Entered: 04/26/2013) (19 pgs)
Apr. 26, 2013	5352	Transcript regarding Hearing Held on 04/25/2013 10:04AM RE: Trustees Motion For An Order Affirming Trustees Calculations Of Net Equity And Denying Time Based Damages..et al... Remote electronic access to the transcript is restricted until 7/25/2013. The transcript may be viewed at the Bankruptcy Court Clerks Office. [Transcription Service Agency: Veritext Reporting Company.]. (See the Courts Website for contact information for the Transcription Service Agency.). Notice of Intent to Request Redaction Deadline Due By 5/3/2013. Statement of Redaction Request Due By 5/17/2013. Redacted Transcript Submission Due By 5/28/2013. Transcript access will be restricted through 7/25/2013. (Ortiz, Carmen) (Entered: 05/01/2013) (28 pgs)
Apr. 29, 2013	5332	Supplemental Opposition Brief CUSTOMERS' CORRECTED SUPPLEMENTAL BRIEF OPPOSING TRUSTEE'S MOTION FOR AN ORDER REJECTING AN INFLATION ADJUSTMENT TO THE CALCULATION OF "NET EQUITY" filed by Richard A. Kirby on behalf of Customers Set forth on Schedule A. (Kirby, Richard) (Entered: 04/29/2013) (31 pgs)

Filing/Entry Date	ECF No.	Docket Text
Apr. 29, 2013	5333	Application for Interim Professional Compensation / Eleventh Application of Trustee and Baker & Hostetler LLP for Allowance of Interim Compensation for Services Rendered and Reimbursement of Actual and Necessary Expenses Incurred from July 1, 2012 through November 30, 2012 for Baker & Hostetler, L.L.P., Trustee's Attorney, period: 7/1/2012 to 11/30/2012, fee:\$49126984.20, expenses: \$1158883.26. filed by Baker & Hostetler, L.L.P.. with hearing to be held on 5/29/2013 at 10:00 AM at Courtroom 623 (BRL) Responses due by 5/22/2013, (Attachments: # 1 Exhibit A # 2 Exhibit B # 3 Exhibit C # 4 Exhibit D) (Sheehan, David) (Entered: 04/29/2013) (106 pgs; 5 docs)
Apr. 30, 2013	5351	Trustee's Interim Report / Trustee's Ninth Interim Report for the Period Ending March 31, 2013 filed by Irving H. Picard on behalf of Irving H. Picard. (Attachments: # 1 Exhibit A)(Picard, Irving) (Entered: 04/30/2013) (101 pgs; 2 docs)

Filing/Entry Date	ECF No.	Docket Text
June 5, 2013	5383	<p>Order Granting Application for Interim Professional Compensation (Related Doc # 5333)for Baker & Hostetler, L.L.P., fees awarded: \$44,214,285.79, expense awarded: \$1,158,883.26, Granting Application for Interim Professional Compensation (Related Doc # 5334)for Windels Marx Lane & Mittendorf, LLP, fees awarded: \$1,379,197.60, expense awarded: \$25,804.05, Granting Application for Interim Professional Compensation (Related Doc # 5335)for Browne Jacobson, LLP, fees awarded: \$84,111.49, expense awarded: \$26,141.07, Granting Application for Interim Professional Compensation (Related Doc # 5336)for Graf & Pitkowitz Rechtsanwälte GmbH, fees awarded: \$454,845.83, expense awarded: \$17,031.80, Granting Application for Interim Professional Compensation (Related Doc # 5337)for Greenfield Stein & Senior, LLP, fees awarded: \$295.20, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5338)for Higgs & Johnson (formerly Higgs Johnson Truman Bodden & Co.), fees awarded: \$45,549.00, expense awarded: \$1,578.21, Granting Application for Interim Professional Compensation (Related Doc # 5339)for La Tanzi, Spaulding & Landreth, P.C., fees awarded: \$5,702.40, expense awarded: \$349.40, Granting Application for Interim Professional Compensation (Related Doc # 5340)for SCA Creque, fees awarded: \$5,582.05, expense awarded: \$150.00, Granting Application for Interim Professional Compensation (Related Doc # 5341)for Schiltz & Schiltz, fees awarded: \$27,760.66, expense awarded: \$2,255.55, Granting Application for Interim Professional Compensation (Related Doc # 5344)for Triay Stagnetto Neish, fees awarded: \$48,771.28, expense awarded: \$383.80, Granting Application for Interim Professional Compensation (Related Doc # 5345)for UGGC & Associates, fees awarded: \$72,984.90, expense awarded: \$647.19, Granting Application for Interim Professional Compensation (Related Doc # 5346)for Werder Vigano, fees awarded: \$11,878.69, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5347)for Williams, Barristers & Attorneys, fees awarded: \$202,250.84, expense awarded: \$0.00, Granting Application for Interim Professional Compensation (Related Doc # 5348)for Young Conaway Stargatt & Taylor, LLP, fees awarded: \$34,167.60, expense awarded: \$7,374.19, Granting Application for Interim Professional Compensation (Related Doc # 5342)for Sorokor - Agmon, fees awarded: \$420,913.16, expense awarded: \$5,530.58, Granting Application for Interim Professional Compensation (Related Doc # 5343)for Taylor Wessing, fees awarded: \$3,403,857.72, expense awarded: \$2,056,150.34; signed on 5/29/2013 (White, Greg) (Entered: 06/05/2013) (8 pgs)</p>

Filing/Entry Date	ECF No.	Docket Text
July 18, 2013	5413	Reply to Motion Reply Memorandum of Law of the Securities Investor Protection Corporation in Support of Trustee's Motion for an Order Affirming Trustee's Calculations of Net Equity and Deyning Time-Based Damages (related document(s)5038) filed by Josephine Wang on behalf of Securities Investor Protection Corporation. (Wang, Josephine) (Entered: 07/18/2013) (41 pgs)
July 18, 2013	5415	Reply to Motion / Reply Memorandum of Law in Support of Trustees Motion for an Order Affirming Trustees Calculations of Net Equity and Denying Time-Based Damages (related document(s)5038) filed by David J. Sheehan on behalf of Irving H. Picard. (Sheehan, David) (Entered: 07/18/2013) (29 pgs)
July 18, 2013	5416	Declaration of Vineet Sehgal in Support of Trustee's Motion for an Order Affirming Trustee's Calculations of Net Equity and Denying Time-Based Damages (related document(s)5415) filed by David J. Sheehan on behalf of Irving H. Picard. (Sheehan, David) (Entered: 07/18/2013) (3 pgs)
Aug. 12, 2013	5444	Memorandum of Law / Customers' Opposition to Trustee's Request for Exclusion of Hart Expert Testimony (related document(s)5415) filed by Richard A. Kirby on behalf of Customers Set forth on Schedule A. (Attachments: # 1 Schedule A) (Kirby, Richard) (Entered: 08/12/2013) (42 pgs; 2 docs)

C. Additional Material Designated by Appellants

Filing/Entry Date	ECF No.	Docket Text
Sept. 25, 2009	461	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Meryl Mann, Michael Mann. (Neville, Carole) (Entered: 09/25/2009)
Sept. 25, 2009	462	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Barry Weisfeld. (Neville, Carole) (Entered: 09/25/2009)
Oct. 21, 2009	538	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Stanley T. Miller. (Attachments: 1 Exhibit A2 Exhibit B3 Exhibit C) (Neville, Carole) (Entered: 10/21/2009)
Oct. 30, 2009	558	Objection to the Trustee's Determination of Claim filed by Alex R. Rovira on behalf of HHI Investment Trust #2. (Attachments: 1 Exhibit A2 Exhibit B) (Rovira, Alex) (Entered: 10/30/2009) (75 pages; 3 docs)
Nov. 12, 2009	717	Objection to Trustee's Determination of Claim filed by Stephen A. Weiss on behalf of Leslie Weiss. (Attachments: 1- Index A. Determination 2- Exhibit B. Customer Claim 3 Exhibit C. New Times Transcript 4- Certificate of Service) (Weiss, Stephen) (Entered: 11/12/2009)

Filing/Entry Date	ECF No.	Docket Text
Nov. 13, 2009	741	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of The Shurman Estate of Helen Shurman. (Attachments: 1 Exhibit A2 Exhibit B) (Neville, Carole) (Entered: 11/13/2009)
Nov. 13, 2009	780	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Harold Hein. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/13/2009)
Nov. 16, 2009	810	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Jennifer Kelman Revocable Trust. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/16/2009)
Nov. 16, 2009	811	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of David R. Markin 2003 Trust. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/16/2009)
Nov. 16, 2009	815	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of BAM LP. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/16/2009)
Nov. 16, 2009	834	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Neil Reger Profit Sharing Keogh. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/16/2009)
Nov. 16, 2009	835	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Elizabeth D. French. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/16/2009)
Nov. 16, 2009	816	Objection To Trustee's Determination of Claim filed by Stephen A. Weiss on behalf of Gary M. Weiss. (Attachments: 1- Exhibit A. Determination 2- Exhibit B. Customer Claim 3- Exhibit C. New Times Transcript 4- Certificate of Service) (Weiss, Stephen) (Entered: 11/16/2009)
Nov. 17, 2009	863	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Alvin Gindel. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/17/2009)
Nov. 18, 2009	891	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of LI RAM L.P.. (Attachments: 1 Exhibits) (Neville, Carole) (Entered: 11/18/2009)
Nov. 18, 2009	944	Objection of Alan L. Aufzien and Norma K. Aufzien to Notice of Trustee's Determination of Claim filed by Peter Gregory Schwed on behalf of Alan L. Aufzien and Norma K. Aufzien. (Schwed, Peter) (Entered: 11/18/2009)
Nov. 18, 2009	945	Objection of Jonathan M. Aufzien to Notice of Trustee's Determination of Claim filed by Peter Gregory Schwed on behalf of Jonathan M. Aufzien. (Schwed, Peter) (Entered: 11/18/2009)
Nov. 18, 2009	946	Objection of Lisa S. Aufzien to Notice of Trustee's Determination of Claim filed by Peter Gregory Schwed on behalf of Lisa S. Aufzien. (Schwed, Peter) (Entered: 11/18/2009)

Filing/Entry Date	ECF No.	Docket Text
Nov. 18, 2009	947	Objection of Leslie Aufzien Levine to Notice of Trustee's Determination of Claim filed by Peter Gregory Schwed on behalf of Leslie Aufzien Levine. (Schwed, Peter) (Entered: 11/18/2009)
Nov. 18, 2009	948	Objection of Meredith Aufzien Bauer to Notice of Trustee's Determination of Claim filed by Peter Gregory Schwed on behalf of Meredith Aufzien Bauer. (Schwed, Peter) (Entered: 11/18/2009)
Dec. 18, 2009	1094	Objection To Trustee's Determination of Claim filed by Carole Neville on behalf of Toby T. Hobish IRA. (Neville, Carole) (Entered: 12/18/2009)
Dec. 23, 2009	1118	Objection /CORRECTED Objection to Trustee's Determination of Claim (related document(s)835) filed by Carole Neville on behalf of Elizabeth D. French. (Neville, Carole) (Entered: 12/23/2009)
Mar. 24, 2010	2082	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Norma Shapiro, IRA. (Neville, Carole) (Entered: 03/24/2010)
Apr. 12, 2010	2202	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Lapin Children LLC c/o Eric Ginsburg. (Neville, Carole) (Entered: 04/12/2010)
May 6, 2010	2253	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Norma Shapiro Trustee. (Neville, Carole) (Entered: 05/06/2010)
June 7, 2010	2375	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Trust U/W/O Philip L. Shapiro. (Neville, Carole) (Entered: 06/07/2010)
June 8, 2010	2379	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Barbara J. Berdon. (Neville, Carole) (Entered: 06/08/2010)
June 8, 2010	2384	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of The Rose Gindel Revocable Trust Agreement. (Neville, Carole) (Entered: 06/08/2010)
July 14, 2010	2744	Objection to Trustee's Determination of Claim filed by Carole Neville on behalf of Laura E. Guggenheimer Cole. (Neville, Carole) (Entered: 07/14/2010)
Oct. 15, 2010	3039	Objection to Trustee's Determination of Claim filed by Stephen A. Weiss on behalf of Melvyn I. Weiss and Barbara J. Weiss. (Attachments: 1- Exhibit A. New Times Transcript) (Weiss, Stephen) (Entered: 10/15/2010)

Dated: New York, New York
October 8, 2013

Respectfully submitted,

DENTONS US LLP

By: /s/ Carole Neville
Carole Neville
1221 Avenue of the Americas
New York, New York 10020-1089
Telephone: 212-768-6700
Facsimile: 212-768-6800

Attorneys for Customers set forth on Exhibit A-1

KRAMER LEVIN NAFTALIS & FRANKEL LLP

By: /s/ Elise S. Frejka
Philip Bentley
Elise S. Frejka
Jason Rappaport
1177 Avenue of the Americas
New York, New York 10036
Telephone: 212-715-9100
Facsimile: 212-715-8000

Attorneys for Customers set forth on Exhibit A-2

LOEB & LOEB LLP

By: /s/ P. Gregory Schwed
P. Gregory Schwed
Daniel B. Besikof
345 Park Avenue
New York, New York 10154
Telephone: 212-407-4000
Facsimile: 212-407-4990

Attorneys for Customers set forth on Exhibit A-3

SCHULTE ROTH & ZABEL LLP

By: /s/ Marcy Ressler Harris
Marcy Ressler Harris
Jennifer M. Opheim
Mark D. Richardson
919 Third Avenue
New York, New York 10022
Telephone: 212.756.2000
Facsimile: 212.593.5955

Attorneys for Customers set forth on Exhibit A-4

SEEGER WEISS LLP

By: /s/ Parvin K. Aminolroya
Parvin K. Aminolroya
77 Water Street, 26th Floor
New York, New York 10005
Telephone: 212-584-0700
Facsimile: 212-584-0799

Attorneys for Customers set forth on Exhibit A-5

EXHIBIT A-1

DENTONS US LLP

DEFENDANTS	ADVERSARY PROCEEDING CASE NO.
HAROLD J. HEIN	10-04861 (BRL)
JENNIFER KELMAN	10-05158 (BRL)
BARBARA J. BERDON	10-04415 (BRL)
LAURA E. GUGGENHEIMER COLE	10-04882 (BRL)
SIDNEY COLE	10-04672 (BRL)
THE FREDERICA RIPLEY FRENCH REVOCABLE TRUST, <i>et al.</i>	10-05424 (BRL)
ALVIN GINDEL REVOCABLE TRUST, ALVIN GINDEL	10-04925 (BRL)
ROSE GINDEL TRUST, ROSE GINDEL, <i>et al.</i>	10-04401 (BRL)
S&L PARTNERSHIP, a New York partnership, <i>et al.</i>	10-04702 (BRL)
TOBY T. HOBISH, as an individual and as trustee, <i>et al.</i>	10-05236 (BRL)
LAPIN CHILDREN LLC	10-05209 (BRL)
BAM L.P., MICHAEL MANN, <i>et al.</i>	10-04390 (BRL)
DAVID R. MARKIN, <i>et al.</i>	10-05224 (BRL)
STANLEY T. MILLER	10-04921 (BRL)
THE MURRAY FAMILY TRUST, <i>et al.</i>	10-04510 (BRL)
ESTATE OF MARJORIE K. OSTERMAN, <i>et al.</i>	10-04999 (BRL)
NEIL REGER PROFIT SHARING KEOGH, NEIL REGER	10-05384 (BRL)
EUGENE J. RIBAKOFF 2006 TRUST, <i>et al.</i>	10-05085 (BRL)
SAGE ASSOCIATES, <i>et al.</i>	10-04362 (BRL)
SAGE REALTY, <i>et al.</i>	10-04400 (BRL)
THE NORMA SHAPIRO REVOCABLE DECLARATION OF TRUST UNDER AGREEMENT DATED 9/16/2008, <i>et al.</i>	10-04486 (BRL)
ESTATE OF JACK SHURMAN, <i>et al.</i>	10-05028 (BRL)
BARRY WEISFELD	10-04332 (BRL)
Marital Trust Under Article X of Charles D. Kelman Revocable Trust dated May 16, 2001, as Restated and Amended	10-05261 (BRL)

EXHIBIT A-2

KRAMER LEVIN NAFTALIS & FRANKEL LLP

Customer	Customer Claim No.	Adversary Proceeding
Lillian Berman Goldfarb	009059	10-04366
Carol Nelson & Stanley Nelson J/T WROS	000480	10-04377
Douglas Rimsky	012150	10-04388
Article Third Trust U/W Jeanne Rimsky	014282	10-04388
Malcolm L. Sherman	014417	10-04430
Fred Schwartz & Allyne Schwartz JT WROS	012137	10-04431
AHT Partners, L.P.	011191	10-04439
Greenman Family Foundation	013434	10-04479
Lester Greenman	011759	10-04479
Stewart Katz & Judith Katz J/T WROS	005511	10-04479
Bernard Greenman Marital Deduction Trust U/A/D 3/22/91	013433	10-04479
Michael Goldstein	000790	10-04482
Michael Goldstein #2	000791	10-04482
Michael Goldstein #3	000792	10-04482
Indian Wells Partnership	014416	10-04484
Karen Siff Exkorn	070171	10-04587
Shirley S. Siff Trust 1989 DTD 12/02/89	014422	10-04641
Carol Nelson	000495	10-04658
NTC & CO FBO Carol Nelson	000531	10-04658
NTC & CO FBO Robert M. Siff	011614	10-04705
Lawrence A. Siff	013410	10-04745
NTC & CO FBO Kay Morrissey	011200	10-04767
Ludmilla Goldberg	000794	10-04811
Heller Bros Partnership Ltd.	013890	10-04863
NTC & CO FBO James Morrissey	011199	10-04874
Susan Axelrod	000222	10-05066
D Stone Industries Inc. Profit Sharing Plan	014303	10-05068
Bertram Bromberg Trust UAD 5/26/06	009098	10-05080
Gloria Bromberg Trust UAD 5/26/06	003174	10-05080
NTC & CO FBO Bertram Bromberg	009097	10-05080
Susan Jane Stone	070198	10-05084
Daniel Stone	009029	10-05084
Harry Schick	000330	10-05096
NTC & CO FBO Robert M. Siff	011615	10-05100
Jeffrey H. Fisher Separate Property Revocable Trust DTD 6/7/2007	014280	10-05247
Stanley I Lehrer & Stuart M Stein JT WROS	004003	10-05259

Customer	Customer Claim No.	Adversary Proceeding
David A. Wingate	009781	10-05327
Marc B. Fisher	010658	10-05336
Trust U/W/O H Thomas Langbert FBO Evelyn Langbert	012232	10-05382
Evelyn Langbert	011197	10-05382
Mark & Carol Enterprises Inc.	013453	10-05432
NTC & CO FBO Mark T. Lederman	013452	10-05432
CAJ Associates LP	013291	10-05440
Jewish Association for Services for the Aged	011196	11-02773

EXHIBIT A-3

LOEB & LOEB LLP

Customer	Customer Claim No.	Adversary Proceeding
MBE Preferred Limited Partnership	014302	10-04952
SEW Preferred Limited Partnership	014160	10-04945
Alan L. Aufzien	004252	10-04483
Norma K. Aufzien	004252	10-04483
Leslie Aufzien Levine	005557	10-04483
Lisa Aufzien	004170	10-04483
Meredith Aufzien Bauer	004901	10-04483
Jonathan M. Aufzien	003407	10-04483

EXHIBIT A-4

SCHULTE ROTH & ZABEL LLP

Customer	Customer Claim No.	Adversary Proceeding
HHI Investment Trust #2	013546	10-05404

EXHIBIT A-5

SEEGER WEISS LLP

Customer	Account No.	Customer Claim No.	Objection Docket No.
Melvyn I. Weiss and Barbara J. Weiss	1CM241	014261	3039
Gary M. Weiss	1CM281	010541	816
Leslie Weiss	1CM277	008654	717